



COMPASS

BUSINESS AND SYSTEM REQUIREMENTS DOCUMENT

Version 3.0 || 18 October 2005

Small Business Administration
Compliance Assistance Project

Contract Number: GP0024739

Attention:
Shivani Desai

Prepared by:

The COMPASS Requirements Capture Team –

[illegible]

TABLE OF CONTENTS

1.	Project Overview.....	6
1.1.	Project Introduction and Purpose	6
1.2.	Project Background.....	6
1.3.	Goals.....	7
1.4.	Definitions	7
2.	Scope of Work	8
2.1.	Current Situation	8
2.2.	Context of the Work.....	8
2.3.	Methodology	9
2.4.	Activities Performed	10
3.	General Description.....	11
3.1.	Product Functions.....	11
3.1.1.	Locating and Accessing Compliance Resources.....	11
3.1.2.	Submitting a Compliance Resource / Resource Mapping.....	14
3.1.3.	COMPASS Administration.....	15
4.	Client, Customer, and other Stakeholders	15
4.1.	Client	15
4.2.	Customers.....	15
4.3.	Other Stakeholders.....	15
5.	Users of the Product.....	15
5.1.	Public Users.....	15
5.2.	Maintenance Roles	16
6.	Project Constraints.....	16
6.1.	Solution Design Constraints	16
6.2.	Implementation Environment.....	17
6.3.	Partner or Collaborative Applications.....	17
6.4.	Off-the-Shelf Software	17
6.5.	Anticipated Workplace Environment	17
6.6.	Development Timeline.....	17
6.7.	Financial Budget	17
7.	Scope of Product.....	18
7.1.	Product Boundary	18
7.2.	Product Use Cases.....	18
8.	Functional Requirements	19
8.1.	Business.gov User Requirements	19
8.2.	Compliance Resource Management Requirements (Agency Interface)	22
8.3.	Systems Administrator Requirements	26
8.4.	Reporting and Verification.....	30
8.5.	Other Requirements.....	30
9.	Data Requirements.....	31
9.1.	Sample Data	31
9.1.1.	Resource Types.....	31
9.1.2.	Question and Answer Tool: Business Information Questions.....	31
9.1.3.	Industry Options	32
9.2.	Metadata.....	34
10.	External Interfaces	35
11.	Look and Feel Requirements.....	35
11.1.	Interface	35
11.2.	Style.....	35
12.	Usability and Humanity Requirements	36

12.1.	Ease of use.....	36
12.2.	Personalization.....	36
12.3.	Internationalization	36
12.4.	Ease of Learning.....	36
12.5.	Understandability.....	36
12.6.	Accessibility	37
13.	Performance Requirements	37
13.1.	Speed and Latency.....	37
13.2.	Reliability and Availability.....	37
13.3.	Robustness or Fault Tolerance.....	37
13.4.	Capacity.....	37
13.5.	Scalability or Extensibility	37
14.	Operational Requirements	37
14.1.	Expected User Technology.....	37
14.2.	Expected Server Technology.....	37
14.3.	Partner Applications	37
15.	Maintainability and Support Requirements	38
15.1.	Maintenance	38
15.2.	Supportability	38
15.3.	Installation	38
16.	Security Requirements	38
16.1.	Access.....	38
16.2.	Integrity.....	38
16.3.	Privacy.....	38
16.4.	Audit.....	38
16.5.	Immunity	38
17.	Legal Requirements.....	38
17.1.	Compliance.....	38
17.2.	Standards.....	39
18.	Off-the-Shelf Solutions	39
19.	Risks.....	39
20.	Costs	40
21.	User Documentation and Training.....	40
21.1.	User Documentation	40
21.2.	Training.....	40
22.	Requirements Not Implemented	40
23.	Supporting Information and Documents.....	41

Executive Summary

Overview

The Small Business Paperwork Relief Act of 2002 ("SBPRA") requires the Office of Management and Budget (OMB) and the federal agencies to consider the federal paperwork burdens imposed on small business and to evaluate the feasibility of reducing those burdens. As part of the President's Management Agenda the agencies are also expected to develop and coordinate e-Government initiatives that will produce meaningful improvements in the delivery of government services to citizens of government through the use of technology. Business Gateway will satisfy the requirements within the Small Business Paperwork Relief Act of 2002 to allow businesses to find relevant compliance resources easier, which will reduce time and burden on them to comply with federal requirements. SBA is the managing partner for this Presidential E-gov Initiative, and it has 22 Federal Agency partners.

Business.gov launched in May 2004 with the focus on a consolidated federal forms catalog and the lifecycle of starting, managing, and growing a business. Through researching the business community, the focus in FY 2006 will be compliance assistance for businesses. Therefore, an integrated portal with government-wide compliance assistance resources is being deployed in September 2006. One tool that will be available on the new business.gov in September 2006 will be a Question and Answer (Q/A wizard) called COMPASS that will help locate helpful government-wide compliance assistance resources.

COMPASS will guide a business person who is not sure of her compliance requirements through a series of question that will take her to an agency compliance resource for help. The concept of this tool was piloted as the "Profiler" in 2004 and was subsequently approved for development by the Governance Board for the Business Gateway project.

Key Definitions

COMPASS: COMPASS will be a dynamic, web-accessible tool designed to assist businesses in identifying and accessing compliance resources that may be applicable to them as they work to comply with Federal regulations. Specifically, the tool will present a series of questions to direct the user to a set of targeted compliance assistance resources across the federal government. Also referred to as Q/A Wizard, COMPASS is an acronym for Compliance Assistance Locator Tool.

Compliance Assistance: Information that helps stakeholders understand their obligations under new and existing federal laws and regulations.

One of the primary projects under this initiative is the Business Gateway (BG) portal and the associated Compliance Assistance Locator Tool (COMPASS) which was conceived to create tools and services to reduce the burdens on small businesses by guiding them through the maze of government rules and regulations that they must comply with. The Small Business Administration (SBA) is the managing partner for this e-Gov initiative, and is partnering with 26 other Federal Agencies

Goals

COMPASS will help small businesses quickly identify and navigate the various compliance resources that exist across the federal government for their specific business operations. COMPASS will not only assist businesses in understanding compliance requirements, it will also reduce the time it takes

to find compliance assistance information. Reducing burden on small business is a key element of the Small Business Paperwork Relief Act of 2002, which this tool is helping to accomplish.

During the definition of this vision and requirements of this tool the Compliance Assistance team has focused on the following goals:

- Reducing the time and effort needed to comply with government regulations
- Providing a single point of access to government compliance information and associated wizards and forms
- Increasing the awareness of regulatory information impacting specific industries or business types so they will be more informed of the regulations that impact them
- Simplifying the process of locating the “best”, most appropriate compliance resources so businesses can be more prepared
- Creating a realistic and sustainable process for maintaining the links and content within the tool
- Developing the Top Tier questions to be further refined into nested levels during the mapping exercise and into the future
- Meeting overall burden reduction objectives of the SBPRA with innovative approaches including COMPASS and the BG Portal.

Solution Vision

COMPASS will be a dynamic, web-accessible tool designed to assist businesses in identifying and accessing compliance resources that may be applicable to them as they work to comply with Federal regulations. At its core, COMPASS will be a Question and Answer Wizard similar to TurboTax to which compliance resources are mapped. The mapping process will involve analysis of compliance issues and resources available to enable COMPASS to present applicable information based upon a series of answers from a user. Based on the mandates and thresholds of a regulation, these mapped resources will be presented to a business user to provide direction towards online tools and information that can help reduce the burden of understanding and complying with regulations.

Results

The resources located within the tool will be organized into resource types grouped by:

- Compliance Guides (e.g. training tools, wizards)
- Fact Sheets and Brochures
- FAQs
- Forms
- Posters
- Contact Information
- Free Help²

Risks

The exercises to develop nested questions and map to critical resources will be conducted after the completion of this SRS document. These exercises will be critical to the success of the tool in both

² Free help is any type of consultation resources that an agency would like the user to be directed to.

the short term during Phase 1 as well as into the future. The current process that is envisioned will rely on a data call structured similar to previous efforts as well as the cooperation of specified agency personnel in the critical planning of resource level mapping. With the anticipated launch date of September 2006, there is a limited window of time for all resources to be mapped to the COMPASS tool. Therefore, the process and system functionality may be greatly enhanced with any tools, methods or other resources that can be applied to assist this project. Any lessons learned from the initial data call will improve the results from this secondary datacall.

Apart from the dependency on the mapping there are other risks as detailed in Section 19 of this document. Key risks identified include:

- State information – not envisioned to be mapped in Phase 1 but should be considered during development if information is readily available.
- Data calls – The structure and effectiveness of data calls will be essential to the content available via COMPASS.
- Maintenance – beyond initial data population the process for updating links and content will be critical.

1. Project Overview

1.1. Project Introduction and Purpose

According to the OMB Information Collection Budget for 2005, the paperwork burden on the public is nearly eight billion hours a year. This figure includes the time it takes for businesses to comply with federal requirements. According to the Small Business Administration (SBA), the average “highly regulated” business (e.g., restaurants, gas stations, and dry cleaners) needs to apply for, receive, and maintain an average of 10 to 15 licenses and permits. It can be difficult, time-consuming, and ultimately very costly for businesses to determine which laws and regulations apply and the steps required to comply.

The Business Gateway (BG) is creating a portal with services to help reduce the time it takes for businesses to maneuver through the maze of government rules and requirements. Business Gateway is one of 24 Presidential E-Gov initiatives to improve services delivery to citizens through technology. Specifically, BG improves the delivery of government services to businesses through technology by providing immediate, online access to critical information. The Small Business Administration is the managing partner for this E-gov Initiative and is partnering with 22 other federal agencies.

Business Gateway offers:

- Gateway to Federal Compliance Resources: directs businesses to a one-stop, common access point for government compliance information and resources
- Forms: enables businesses to easily find more than 6,000 federal forms via an online catalog of government-required business forms
- Data Harmonization: streamlines and automates reporting processes so that the data businesses provide electronically can be shared across agencies (federal, state, and local), thereby reducing the reporting burden

1.2. Project Background

A BG primary objective is to reduce the time and effort necessary for businesses to identify and comply with regulations that specifically apply to their operations. To this end, the BG formed an interagency working group (i.e., Compliance Workgroup) made up of partner agency representatives. This team is led by the U.S. Environmental Protection Agency (EPA), and includes representatives from the Small Business Administration (SBA), the Department of Labor (DOL), DOL’s Occupational Safety and Health Administration (OSHA), the Internal Revenue Service (IRS) within the Department of Treasury, and the Department of Energy (DOE). The team’s primary objective has been to “build a user profiler (COMPASS tool) that will direct a user to regulatory information and applicable tools specific to their business.”³

The Compliance Workgroup has made significant progress. It created an online proof-of-concept prototype called the COMPASS Profiler, which was a key step toward addressing its primary business objective. As a proof-of-concept, the Profiler made tangible the vision of what COMPASS could become. The prototype was designed to help users navigate through laws and regulations that businesses must understand. Profiler collects information supplied by the business through a series

³ Statement of Work/RFQ, COMPASS Requirements Analysis.

of questions, and then directs users to compliance information and resources that may be relevant to their business.

The intent of the Compliance Workgroup is to expand upon the Profiler concept to develop the requirements and processes for implementing a COMPASS tool capable of supporting the dissemination of compliance resources from 22+ partner agencies to business users nationwide.

1.3. Goals

The overarching strategic goal of COMPASS is to help small businesses with government regulatory compliance by making it easier for them to locate and become aware of government compliance resources that are currently available on the World Wide Web.

Specifically, COMPASS will benefit the Nation's businesses by:

- Reducing the time and effort needed to comply with government regulations
- Providing a single point of access to government compliance information and associated wizards and forms
- Increasing the awareness of regulatory information impacting specific industries or business types so they will be more informed of the regulations that impact them
- Simplifying the process of locating the “best”, most appropriate compliance resources so businesses can be more prepared
- Creating a realistic and sustainable process for maintaining the links and content within the tool
- Developing the Top Tier questions to be further refined into nested levels during the mapping exercise and into the future
- Meeting overall burden reduction objectives of the SBPRA with innovative approaches including COMPASS

Federal Agencies will also benefit from COMPASS:

- Reducing time and resources spent by staff responding to common compliance questions and informational requests from businesses
- Helping agencies achieve the goals and mandates of the Small Business Paperwork Reduction Act (SBPRA)
- Greater compliance with laws and regulations

1.4. Definitions

Business Gateway Portal (business.gov): an integrated web portal designed to provide business users with access to government-wide compliance assistance resources.

Compliance Assistance: information that helps stakeholders understand their obligations under new and existing federal laws and regulations

COMPASS: a dynamic, web-accessible tool designed to assist businesses in identifying and accessing compliance resources that may be applicable to them as the work to comply with Federal regulations. Specifically, the tool will present a series of questions to direct the user to a set of targeted compliance assistance resources across the Federal government. Also referred to as Q/A Wizard, COMPASS is an acronym for Compliance Assistance Locator Tool.

2. Scope of Work

2.1. Current Situation

Since the initial launch of Business.gov in September of 2004, the BG team has focused their efforts on a major redesign of the overall portal. The site was originally developed with a focus on federal forms and the lifecycle of a business, but has been more clearly defined to focus on business compliance assistance. In addition, significant progress has been made to revise the Forms.gov site in order to capture the links to all government forms maintained by the individual agencies. To support the Business Gateway portal, which includes the compliance tool and forms catalog, the team is developing the basic requirements for the COMPASS tool. All information developed by the Compliance Workgroup, to include this SRS document, will be provided to a firm contracted to design and build Phase 1 of the portal which is scheduled for a new launch in September of 2006.

Specific progress on the COMPASS Tool has been described in section 1.2 Project Background. The COMPASS Profiler was developed and reviewed as a proof-of-concept with members of the business and agency communities. Comments from those groups have been incorporated within the requirements development process for development of the final tool.

The Compliance Workgroup recently added M Squared Strategies, Inc., Blue Raster LLC and, the North Highland Company to develop the requirements of the COMPASS Tool in order to ensure that the needs of businesses and the regulatory mandates of the federal agencies have been captured. The Compliance Workgroup has also conducted additional research to review the links and data submitted by the participating agencies for the September 2005 Data Call process. Through this research it has been determined that there is a significant variation in the web site infrastructure, maintenance, and meta-tagging requirements/data availability across the agencies as well as within agencies. There is also a large variation in the content and sophistication of the web site resource types to include Compliance Guides, online wizards and other tools, format of publication of statutes and regulations, contact information, etc.

Further tasks to be completed by the Compliance Workgroup will include a mapping project and development of nested questions, after the completion of the SRS document. These activities will involve the assistance of staff from the targeted agencies to identify those compliance resources deemed critical for incorporation within Phase 1. Additionally, a COTS analysis and cost estimate will be developed.

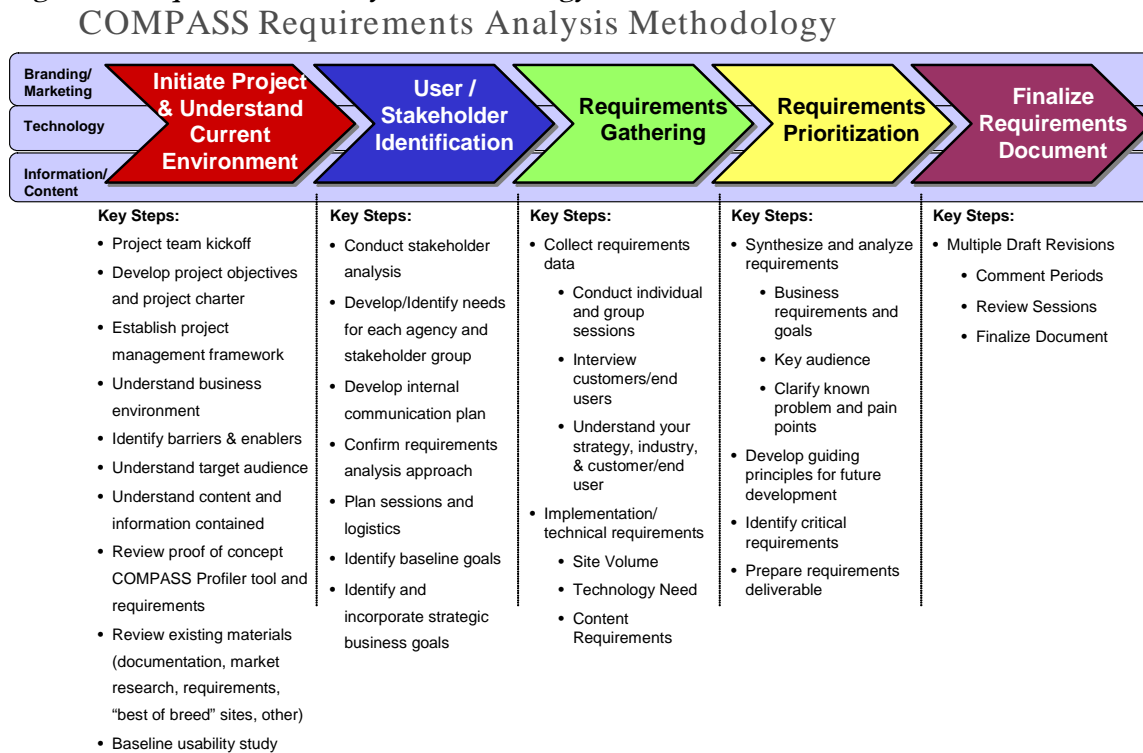
2.2. Context of the Work

The scope for these requirements is to enable the mapping project as well as the design and build process for Phase 1 of the COMPASS Tool to commence. The requirements will also address high level recommendations for future phases of the tool as enhancements are envisioned for the next several years.

2.3. Methodology

Our approach to gathering the functional requirements is a comprehensive one: understanding the current state, identifying the stakeholders, determining their needs, and developing a practical solution:

Figure 1: Requirements Analysis Methodology



This methodology has been successfully implemented for this project with consideration given to the multiple work streams in progress. Additional attention has been paid to the varied levels of technical infrastructure within each of the agency web sites.

2.4. Activities Performed

To date, the team has interviewed representatives of the business community as well as several agencies in order to understand their specific needs from a user and technical perspective. The responses from those interviews were captured and analyzed for the formulation of a draft requirements document (“Strawman”) that was distributed to the workgroup leads. The document laid out the vision for the site, as well as the proposed methodologies for linking to Agency web sites and mapping to those resources identified as critical to the audience of this COMPASS Tool. Comments reported to the team have been reviewed for incorporation into this System Requirements Specification (SRS) document.

During the initial three phases for the COMPASS Requirements Analysis, we accomplished the following broad areas.

- Reviewed the current environment including:
 - Existing research materials
 - COMPASS Profiler prototype
- Conducted a review of OMB Data Call links provided
- Identified and interviewed key stakeholders from government and the business community

The target agencies for requirements interviews were defined as DOL, EPA, Treasury and the Department of Transportation (DOT). In addition the team was requested to interview members of the business community as identified by the BG team as well as representatives from the SBA.

The various user groups that participated in the interview sessions are shown in Table 2.

Agency	Department or Sub Agency
SBA	<ul style="list-style-type: none"> • Office of Advocacy
Department of Labor	<ul style="list-style-type: none"> • Office of Compliance Assistance Policy • Occupational Safety and Health Administration • Mine Safety and Health Administration • Employee Benefits Security Administration • Employee Standards Administration (Wage & Hour)
Environmental Protection Agency	<ul style="list-style-type: none"> • Office of Air and Radiation • Office of Enforcement and Compliance Assistance • Office for Solid Waste and Emergency Response • Office of Environmental Information • Office for Prevention, Pesticides and Toxic Substances
Department of Transportation	<ul style="list-style-type: none"> • Federal Motor Carrier Safety Administration • Research and Innovative Technology Administration • Federal Aviation Administration
Department of Treasury	<ul style="list-style-type: none"> • Internal Revenue Service • Alcohol, Tobacco, Tax and Trade Bureau

Table 2: Agency Interview Summary

Research regarding business user input was provided primarily from focus groups conducted by Rockbridge Associates as detailed in “Strategic Research for Business Gateway” report delivered July 5, 2005. Additional input from the small business community was solicited by the Compliance Workgroup via a Small Business Roundtable discussion held on September 22, 2005. Of the 26 potential participants contacted there were three that agreed to participate. Of those positive responses there were representatives from two companies that participated: Office Depot, Inc. (Oregon retail location) and AETEA Information Technology.

In addition to the SRS document the Compliance Workgroup team will be assessing similar products to determine whether there are Commercial Off the Shelf (COTS) tools available or whether custom development will be required. The final component to the project will be a cost estimation analysis for integration of the COMPASS tool within the overall Business Gateway. The results of each of these tasks will be reported to the BG management team and the Advisory Group

3. General Description

3.1. Product Functions

COMPASS will be a dynamic, web-accessible tool designed to assist businesses in identifying and accessing compliance resources that may be applicable to them as they work to comply with Federal regulations. COMPASS will provide an easy-to-navigate interface with a clear and organized taxonomy that uses language that makes sense to business users.

At its core, COMPASS will provide users with a Question and Answer (Q&A) Wizard, similar to TurboTax, to which compliance resources will be mapped. The general idea behind COMPASS is for the government to transform the seemingly infinite array of compliance resources into an organized, finite universe of resources that have been “mapped” to the Q&A Wizard, as well as mapped to the Business Gateway Topic Directory Structure. In so doing, COMPASS will make resources accessible in terms that are meaningful to businesses (i.e., the way businesses think), rather than how government is structured.

This section describes the primary functions and features of COMPASS.

3.1.1. Locating and Accessing Compliance Resources

COMPASS will provide a series of questions (and “nested” questions) for users to answer about their business. COMPASS will then return a list of links to Compliance Resources according to how a user answered the questions. Based on preliminary discussions, Business Gateway will have a topic directory to store its contents (or some similar technology/methodology). Each link will also contain a description of the resource and a hyperlinked breadcrumb trail displaying the levels of the Business Gateway Topic Tree(s) to which that resource belongs. The breadcrumb trail will allow the user to move up and down within a Topic Tree to locate other similar resources.

A Q&A Wizard will be especially useful for new businesses or those business users that are unsure what regulations apply to their business, because it will provide a great starting point to find potential compliance resources that could be helpful for them. The following screenshots offer a sample of the types of questions and responses COMPASS may provide. The design and layout of the screenshots is generic to convey the concepts of how COMPASS may function without influencing the ongoing design process.

Compass Home Page - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites Media Print W Address Go Links >>

COMPASS

[Home](#) | [Instructions](#) | [Search](#)

Questions

- Select the Industry Sector and Sub sector that most closely describes your business:

Sector Sample	Sub Sector Sample
Sector Sample	Sub Sector Sample
Sector Sample	Sub Sector Sample
Sector Sample	Sub Sector Sample
Sector Sample	Sub Sector Sample
- How many employees do you have?
- Do you offer or do you plan to offer —
 - Health benefits to your employees?

☐ Yes ☒ No
 - Retirement benefits (401K) to your employees?

☐ Yes ☒ No
- Are you a new (start-up) business?

☐ Yes ☒ No
- In what State(s) does your business operate?
- Are you buying or selling a business?

☐ Yes ☒ No
- Do you generate waste (not including household waste)?

☒ Yes ☐ No

Local intranet

Compass Home Page - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites Media Print W

Address Go Links >>

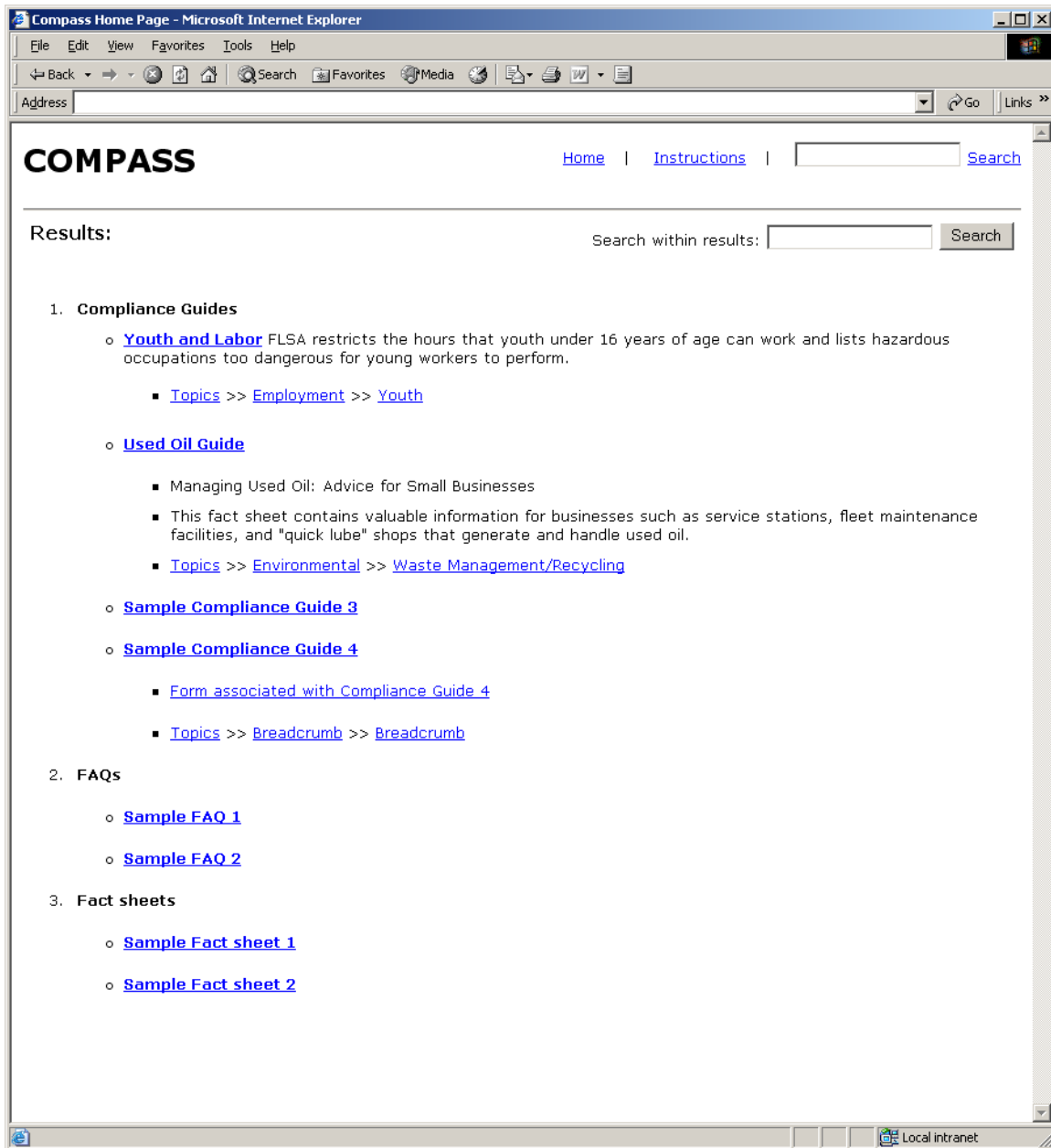
COMPASS

[Home](#) | [Instructions](#) | [Search](#)

Questions Continued (Sample of Nested Questions)

- Are any of your employees youth (<18 years old) workers?
☒ Yes ☐ No
- Are any of your employees non-U.S. citizens?
☐ Yes ☒ No
- Tell me about the waste you generate —
 - ☐ Batteries
 - ☐ Hazardous waste
 - ☐ Construction Debris
 - ☒ Used oil
 - ☐ Tires
 - ☐ Paints and solvents
 - ☐ Other

Done Local intranet



3.1.2. ***Submitting a Compliance Resource / Resource Mapping***

For a resource to be included in COMPASS, it must be submitted by an Agency through the OMB Data Call process. It is recommended that this process use an on-line form or similar tool to be developed rather than a spreadsheet.

Resources are connected to questions and answers in the Q&A Wizard as follows:

1. The submitted resource will be manually mapped to a specific regulation(s).
2. Each regulation will have previously been connected to one (or more) question and answer in the Q&A Wizard.

Note: It is recommended that Q&A Wizard mapping occur in conjunction with Business Gateway Topic Directory mapping. By doing these activities simultaneously, the government will save time and resources by only having to touch each compliance resource once.

3.1.3. COMPASS Administration

COMPASS will have an administrative area allowing designated government system administrators to manage and maintain users, links, and the Q&A Wizard.

The Q&A Wizard questions will be dynamic, which means that the government will have the flexibility to add, edit, and delete questions at any time.

Note: COMPASS will be a database of links that point to compliance resources; COMPASS will not be a physical store for the compliance resources themselves. Links will be stored in a database along with mapping information.

4. Client, Customer, and other Stakeholders

4.1. Client

The BG Project Management Core team from SBA is the primary client for this effort.

4.2. Customers

The Business.gov website is targeting small businesses, including both start-up and established businesses. Smaller businesses have fewer resources with which to comply with government regulations than larger businesses; therefore, they are less equipped to handle the regulatory burden. By using COMPASS to identify pertinent regulations and locate on-line compliance assistance resources, small businesses will have better knowledge of the regulations that apply to their operations. This knowledge and awareness is anticipated to enable compliance with regulations more easily thereby reducing the regulatory burden on small businesses.

A secondary audience is larger businesses. It is assumed that these businesses have more resources to comply with regulatory compliance issues. They have legal teams, accountants, HR professionals, environmental experts, and many other professionals on staff or under contract to provide regulatory guidance. However, COMPASS will still be available to them and potentially a useful resource. Some large business users include new employees whose job involves regulatory compliance, an employee in search of contact information, or someone looking for information on how to comply with a new regulation.

4.3. Other Stakeholders

All government agencies that have resources linked via the COMPASS tool are tangential stakeholders. As future phases of the Business Gateway project are initiated other agencies will be engaged with the intention of mapping their web sites and online resources within the COMPASS Tool.

5. Users of the Product

5.1. Public Users

Typical characteristics of a COMPASS small business user include:

- Very busy and focused on business operations
- Don't know the regulations that apply to their business

- Don't have time to spend figuring out the regulations that apply to their business
- Don't know "where to start" when it come to regulations and compliance

Start-up small businesses that are beginning or expanding operations will be a primary user of COMPASS. Within these companies, the person responsible for compliance issues may range from the owner, to the operations manager, to the administrative assistant.

The COMPASS Q&A Wizard is intended for this "novice" audience that may not know where to begin. However, this tool is not exclusive to this user group and may provide utility to any user with compliance concerns.

Small to medium sized businesses with established operations will be primary users of COMPASS as well. These users may have experience with some regulations, as well as contacts at specific agencies. They may also be expanding operations in an existing business unit or branching out into new activities.

Larger businesses will be users of COMPASS to a lesser degree. Typical users may be in-house counsel, HR, or tax compliance personnel searching for specific information or updates to regulations in which they already have a depth of experience.

Professional services firms that serve businesses (e.g., law firms, accountants, etc.) are not considered within the focal audience but may make use of a COMPASS Tool to locate information directly or on behalf of their clients.

Federal Agency personnel that are fielding inquiries from businesses on compliance matters will also be users of COMPASS. These issues may involve regulations that are governed by their agencies or across other agencies within the federal government.

5.2. Maintenance Roles

Another group of users are individuals that are responsible for managing COMPASS and maintaining the content. These users consist of the following user roles:

- **Resource Mapper** – Staff responsible for submitting and maintaining Compliance Resource links
- **System Owner** – COMPASS stakeholders who will have access to all the resources of COMPASS, including the administrative areas for maintaining links for all Agencies
- **System Administrators** – Designated personnel who have access and control over all parts of COMPASS, including the modules for User Access Management and Q&A Wizard Management

6. Project Constraints

6.1. Solution Design Constraints

COMPASS will be a key component of the BG Portal and will be seamlessly integrated within the portal infrastructure. Based on initial scoping by the BG Project Team, business.gov will operate on a BEA/WebLogic platform requiring that all modules can run within this environment. The user interface (UI) for COMPASS will follow the overall portal information architecture. COMPASS will also require an administrator interface for agency management and update of compliance assistance

resources. The entry point to the BG Portal for administrators will not be visible to public users and will be setup as a separate application interface.

6.2. Implementation Environment

It is anticipated that the BG Portal will be implemented in a BEA/WebLogic environment in a hosted data center. The COMPASS tool will also require a Relational Database Management System (RDBMS) to store all compliance assistance content including links, metadata, and search results. A search engine technology will be leveraged from the BG Portal to enable key word searching into the results sets returned from the COMPASS tool.

6.3. Partner or Collaborative Applications

COMPASS will be a key component of the BG Portal and will also work seamlessly with Forms.gov. This will require search and database connectivity to allow mapped resources to be returned from Forms.gov as well as the COMPASS compliance assistance resource database. Additionally, as new compliance assistance resources are added a linkage to forms may need to be created. As new forms are added to the Forms.gov database these resources will need to be mapped to COMPASS when appropriate.

6.4. Off-the-Shelf Software

As a tool within the BG Portal, COMPASS will be required to operate within a BEA/WebLogic environment which is J2EE compliant. COMPASS will integrate with the BG Portal Search Technology.

6.5. Anticipated Workplace Environment

COMPASS will operate as a web application and all functionality will work within standards based browsers. All federal regulations for accessibility including Section 508 Compliance will be mandatory. Users will access the system from broadband and dialup connections.

The web browser will need to support JavaScript and may need to accept session-based cookies. By default, the major Web browsers are configured to handle this requirement. In future phases, an optional user name and password may be implemented to allow users to save their company specific information to answers. This will enable users to return to COMPASS via the BG Portal and gather new compliance information without having to answer basic questions about their operations each time.

6.6. Development Timeline

Phase I of the BG Portal is scheduled to launch to September 2006. All COMPASS functionality will be included in this launch.

6.7. Financial Budget

A preliminary budget has been established and may be adjusted based on the cost analysis that will follow the completion of this SRS document.

7. Scope of Product

7.1. Product Boundary

The requirements in this document focus specifically on the COMPASS Tool. This tool is intended to integrate within the BG Portal and act as a sophisticated pointer to content maintained on other web sites across the federal government. The tool will be structured to integrate with a hierarchical directory of mapped resources as well as a database of links (URLs). The mapped resources will be identified during a follow-on mapping exercise with federal agency personnel. The COMPASS tool is not expected to contain specific content.

7.2. Product Use Cases

COMPASS use cases will be developed jointly by the Requirements Team, the Software Developer and the PMO Team. It is anticipated that this process will occur directly following the delivery of the final requirements document and before a COTS review of the marketplace is conducted.

8. Functional Requirements

This section provides the functional requirements for COMPASS.

8.1. *Business.gov User Requirements*

Req ID	Requirement Title	Requirement Description	Comments	Approval
1.	BUSINESS.GOV HOME PAGE			
1.1	User Access to COMPASS	The Business Gateway Team will determine how users will access COMPASS.		
2.	COMPASS QUESTION AND ANSWER (Q&A) WIZARD	COMPASS will provide users with a Q&A Wizard to answer a series of questions about their business to provide access to applicable regulatory compliance resources.		
2.1	Q&A Wizard Page Content	The COMPASS Question and Answer Tool Home Page will contain the following: <ul style="list-style-type: none">▪ Brief instruction to the effect “Answer questions to find compliance resources that may apply to your business”▪ Additional instructions about how to use the tool and a description of the types of information they are likely to find using the tool.▪ Business Gateway/COMPASS Disclaimer language▪ List of question and answer choices▪ Other Information provided by BG UI Team		
2.1.1	List of Questions and Answers	The tool will provide a list of questions and answer choices for a user to select from to input information about their business (see Section 9 for suggested top-level questions)		
2.1.2	Answering Questions	Users will answer questions as directed by the specific answer set (e.g., multiple choice, list select, numerical range, etc.)		
2.1.2.1	Blank Answers	A user does not have to answer all questions		
2.1.2.2	Nested Questions	The question tool will allow for “nested questions” based on user response to top level questions. This will support several tiers of questioning to meet the needs of users. (Specific UI requirements for nested questions will be determined by the UI Team) Users will be asked to answer nested questions only if they answer affirmatively to a top-level question		
2.1.3	Question Help	Users will be able to click a link next to each question to view a glossary of terms and plain language guidance describing how their answers may impact the results.		
2.1.4	Question Order	Questions will be ordered as follows:		

		<ul style="list-style-type: none"> ▪ 1 – Industry selection ▪ 2 – General Business Questions ▪ 3 – Specific Questions (e.g., topic specific questions, such as environmental or safety) ▪ 4 – Keyword entry box (Keyword search requirements as defined in BG Portal Requirements) 		
2.1.5	Keyword entry box	<p>The user will be able to refine the inquiry further by entering text into a keyword entry box</p> <p>The keyword entry box will allow for standard Boolean operators, including AND, OR, NOT (or AND NOT), and NEAR.; quotations and commas will also be allowed in searches</p>		
2.1.6	Incomplete Entry	User can answer as many or as few questions as desired and hit “GO” at any time to view results		
2.2	Results Page	<p>The Results Page will contain the following elements:</p> <ul style="list-style-type: none"> ▪ A link allowing users to repeat their inquiry ▪ A link allowing users to perform a new inquiry ▪ Navigation tool in a conspicuous location describing for users how many resource listings were returned and providing them with the ability to navigate the results ▪ Listing of resources that met the criteria of their inquiry 		
2.2.1	Repeat Inquiry	The user will be able to click a link on the Results Page, to redisplay the Q&A Wizard Page with all of the user’s prior answers filled out.		
2.2.2	New Inquiry	The user will be able to click a link on the Results Page, to display a blank Q&A Wizard Page		
2.2.3	List of Results – Grouping	<p>Results will be organized into groups by Resource Type as follows:</p> <ul style="list-style-type: none"> ▪ up to 5 results will be displayed per Resource Type ▪ a link to view more results under each Resource Type (if more results exist) 		
2.2.4	List of Results – Entry Display	<p>Each Compliance Resource entry will be displayed as follows:</p> <ul style="list-style-type: none"> ▪ Page title for that resource ▪ Page Description ▪ Hyperlinked URL to the resource ▪ Breadcrumb trail for each Business Gateway Topic Tree the resource belongs to ▪ Agency/Sub-Agency ▪ Resource Type 		

		<ul style="list-style-type: none"> ▪ Link to related resource (i.e. Form applicable to identified resource) 		
2.2.5	Breadcrumb Trail	Each result entry will have a hyperlinked breadcrumb trail displaying the levels of the Business Gateway Topic Tree(s) to which that resource belongs. Each level of the tree will be a link allowing the user to move up and down within a Topic Tree to locate other similar resources. (see Business Gateway Requirements for more information on this feature)		
2.2.6	Pagination	Results will be navigated by a pagination feature at the bottom of the page		
2.2.7	Exclusivity	<p>The Q&A Wizard will treat each answer independently so that one answer does not cancel out the other (This requirement does not apply to nested questions relationship to their parent).</p> <p>(Example: If a user answers both a “Number of Employees” question and a “Tank question” affirmatively, then resources mapped to both of these questions will be returned.)</p>		

8.2. Compliance Resource Management Requirements (Agency Interface)

Req ID	Requirement Title	Requirement Description	Comments	Approval
3.	Login	Users will be able to access the Login Screen by typing in the URL		
3.1	Login Screen	<p>The Login Screen will contain the following elements:</p> <ul style="list-style-type: none"> ▪ Username Text Box ▪ Password Text Box ▪ “Need Help Logging In” Link 		
3.1.1	Login Help Page	<p>The Login Help Page will contain the following elements:</p> <ul style="list-style-type: none"> ▪ Lost Password Tool <ul style="list-style-type: none"> ○ Message that Reads: “Forgot your password. Enter your email below to have it sent to you.” ○ Open Text Box to type in email address ○ “Go” Button ▪ Email address of a COMPASS System Administrator with a message that reads similar to: “Email the COMPASS Administrator if you need additional help” 		
4.	Compliance Resource Management Home Page	COMPASS will have a Compliance Resource Management Home Page		
4.1	Compliance Resource Management Home Page Content	<p>The Compliance Resource Management Home Page will contain the following elements:</p> <ul style="list-style-type: none"> ▪ Compliance resource filtering tool ▪ A list of compliance resources in COMPASS (“Compliance Resource List”) ▪ “Add Compliance Resource” link ▪ “Revise a Compliance Resource” link ▪ “Delete Selected Resources” link ▪ “Suggest a Question/Answer” link 		
4.1.1	Compliance Resource List – Sort	<p>Default Primary Sort: The Compliance Resource List will only show resources for the Agency/Sub-Agency of the Resource Mapper, or if a System Owner or System Administrator, then the default will be to display resources for all Agencies (alphabetically)</p> <p>Default Secondary Sort: Resources will be displayed alphanumerically by the Resource Number.</p>		

4.1.2	Compliance Resource Filtering Tool	<p>The user will be able change the Default Sort by filtering the list of compliance resources by selecting from one or more different filter options:</p> <ul style="list-style-type: none"> ▪ Agency/Sub-Agency (choose from all Agencies in COMPASS) ▪ Resource Number (Choose from a List of Ranges or search by inputting a Resource Number) ▪ Resource Type (Choose from all Resource Types in COMPASS) 		
4.1.3	Compliance Resource List Display	<p>The Compliance Resource List will contain the following items (i.e., columns):</p> <ul style="list-style-type: none"> ▪ Checkbox (or similar, adjacent to each resource) ▪ Resource Number (COMPASS will automatically assign a Resource Number) ▪ Agency/Sub-Agency (COMPASS will only allow maintenance user to map resources to his/her Agency/Sub-Agency) ▪ URL (hyperlink) ▪ Mapped by (Resource Mapper's Name will be automatically entered) 		
4.1.4	Results per Page	The Resource List will display 50 results per page		
4.1.5	Pagination	The Resource List will have a pagination navigation feature on the page		
5.	Compliance Resource Page	<p>Clicking the Resource Number from an entry in the Compliance Resource List will open the Compliance Resource Page.</p> <p>The Compliance Resource Page contains numerous elements all on one page, as follows:</p> <ul style="list-style-type: none"> ▪ Agency/Sub-Agency – Drop Down list of Agencies; can only select one Agency/Sub-Agency); <u>REQUIRED</u> ▪ Date added to COMPASS – auto-generated date; cannot be modified ▪ URL – will contain http:// followed by a blank text box to enter the rest of the URL; <u>REQUIRED</u> ▪ Q&A Wizard Question and Answer List ▪ Related Resource (i.e., a resource that can be directly linked with the current resource, for example, an applicable form) ▪ “Add to COMPASS” button at top and bottom of page 		
5.1	Add Compliance Resource	<p>The “Add Compliance Resource” link will open a blank Compliance Resource page.</p> <p>The Resource Mapper will use the Compliance Resource Page to submit a Compliance Resource link by providing the <u>REQUIRED</u> information (i.e., Agency and URL) and clicking “Add to COMPASS”</p> <p>(Note: A user should be encouraged to map a Compliance Resource at this time – <u>See Compliance Resource Mapping requirements.</u>)</p>		
5.1.1	Resource Added Confirmation Screen	If a resource has been successfully added to COMPASS, a verification page will load indicating that the resource has been successfully added.		

		The verification message may read similar to: “You have successfully added a compliance resource to COMPASS”		
5.1.2	Resource Added Error Message	If a resource has been unsuccessfully added (e.g., not all Required fields completed), then an error message will be prominently displayed identifying the problem with the entry		
5.2	Edit Compliance Resource	A user will be able to edit a resource by clicking the Resource Number from the Compliance Resource List to open the Compliance Resource Page for that resource.		
5.2.1	Make and save changes to a resource	The Compliance Resource Page will be populated with all the database information and mapping information for the selected resource. The user can modify all of the fields and checkbox entries as appropriate and click the “Update” button at the top or bottom of the page		
5.3	Delete a Resource	A user will be able to delete a resource by clicking the checkbox of one or more resources in the Compliance Resource List and then clicking the “Delete Selected Resources” link at the top of the page. (A message window will appear “Are you sure you want to permanently delete these resources” – YES or NO) If “Yes”, a message will appear “The selected resources were successfully removed from the system – return to <i>Compliance Resource Management Home Page</i> ” If “No”, the window will be closed and the user will be back on the Compliance Resource Management Home Page		
6.	Compliance Resource Mapping	The Resource Mapper will use the Compliance Resource Page to map a resource		
6.1	Resource Mapping: COMPASS Question and Answer Tool Mapping	The Compliance Resource Page will list out questions so that all questions and nested questions are visible as follows: <ul style="list-style-type: none"> All questions and nested questions will have a checkbox Master Question will be displayed more prominently The user must answer all questions to successfully add a Resource to COMPASS.		
6.1.1	Suggest a Question	A “Suggest a Question” link will open a Question Request Pop-Up that can be used by a Resource Mapper to suggest that a question or Nested Question be added to COMPASS. The user will suggest a Question as follows: <ul style="list-style-type: none"> Input question suggestions Identify if it is a nested question, and if it is, nested to what question Submit their suggestion for review 		
6.1.1.1	Suggest a Question: Added Screen	If successfully submitted, a verification page will load indicating that the suggestion “has been submitted to COMPASS administrators for review”, and that someone will contact them within a week (or other timeframe) to discuss.		
6.1.1.2	Suggest a Question: Error	If a resource has been unsuccessfully added (e.g., not all fields completed), then an		

	Message	error message will be prominently displayed identifying the problem with the entry		
6.1.2	Home Page Request	When mapping a Compliance Resource, the Resource Mapper will be able to request that a resource be displayed prominently on the Home Page (for time critical resources i.e. Hurricane response compliance assistance)		
6.1.3	Related Resource	When mapping resources, related resources (i.e. a form referenced in a resource or needed for compliance) will also be mapped.		

8.3. *Systems Administrator Requirements*

Req ID	Requirement Title	Requirement Description	Comments	Approval
7.	Login	Users will be able to access the Login Screen by typing in the URL		
7.1	Login Screen	The Login Screen will contain the following elements: <ul style="list-style-type: none"> ▪ Username Text Box ▪ Password Text Box ▪ “Need Help Logging In” Link 		
7.2	Login Help Page	The Login Help Page will contain the following elements: <ul style="list-style-type: none"> ▪ Lost Password Tool <ul style="list-style-type: none"> ○ Message that Reads: “Forgot your password. Enter your email below to have it sent to you.” ○ Open Text Box to type in email address ○ “Go” Button ▪ Email address of a COMPASS System Administrator with a message that reads similar to: “Email the COMPASS Administrator if you need additional help” 		
7.2.1	Successful Login	If successful logging in, the user will be taken to the System Administration Home Page		
8.	System Administration Home Page	COMPASS will have a System Administration Home Page which will display all system administrator functional areas as follows: <ul style="list-style-type: none"> ▪ User Administration ▪ General Compliance Resource Administration ▪ COMPASS Q&A Wizard Administration ▪ Agency List Management ▪ Home Page Content Management 		
9.	User Administration	COMPASS will have a user administration area to manage users and access rights to different areas of the tool		
9.1	User Access Rights	COMPASS users will have User Role access rights as follows: <ul style="list-style-type: none"> ▪ Resource Mappers – will need a user name and password to access the system, and will be able to access and use: <ul style="list-style-type: none"> ○ Compliance Resource Management Home Page <ul style="list-style-type: none"> ▪ Can view all resources ▪ Can add, edit, or delete resources <u>only for their</u> 		

		<p><u>Agency/Sub-Agency</u></p> <ul style="list-style-type: none"> ▪ System Owners <ul style="list-style-type: none"> ○ All the same access rights as Resource Mappers ○ Can add, edit, and delete resources <u>for all Agency/Sub-Agency resources</u> ▪ System Administrators <ul style="list-style-type: none"> ○ All the same access rights as System Owners ○ System Administrator Area <ul style="list-style-type: none"> ▪ User access ▪ COMPASS Q&A Wizard Management 		
9.2	User Administration Page Layout	<p>The User Administration Page will display the following information:</p> <ul style="list-style-type: none"> ▪ “Add New User” link ▪ “Delete Selected Users” link ▪ List of users 		
9.2.1	User List	<p>The User List will contain the following items (i.e., “columns”):</p> <ul style="list-style-type: none"> ▪ Checkbox for each user ▪ Name* ▪ Agency/Sub-Agency* ▪ User Role* ▪ User Name ▪ Password <p>*The user will be able to click the column header to sort by that column</p>		
9.2.2	Add New User	Clicking on the “Add New User” link will open a blank COMPASS User Page		
9.2.3	COMPASS User Page	<p>The COMPASS User page contains numerous elements all on one page, as follows:</p> <ul style="list-style-type: none"> ▪ Name – Open Text Box; <u>REQUIRED</u> ▪ Agency/Sub-Agency – Drop Down list of Agencies; can only select one Agency/Sub-Agency); <u>REQUIRED</u> ▪ User Roles – Dropdown list of User Roles <ul style="list-style-type: none"> ○ Resource Mapper ○ System Owner ○ System Administrator ▪ Username – Text Box with validation; <u>REQUIRED</u> ▪ Password – Text Box with validation; <u>REQUIRED</u> ▪ “Add User” button at top and bottom of page <p>(Note: A user must enter “Agency/Sub-Agency” and a “URL” at a minimum to be</p>		

		able to add a resource to COMPASS)		
9.2.4	Deactivate a User	<p>The System Administrator will be able to deactivate a user by clicking the checkbox of one or more users in the User List and then clicking the “Deactivate Selected Users” link at the top of the page.</p> <p>(A message window will appear “Are you sure you want to deactivate these users” – YES or NO)</p> <p>If “Yes”, a message will appear “The selected users were successfully deactivated – return to <i>User Administration Page</i>”</p> <p>If “No”, the window will be closed and the user will be back on the User Administration Page</p>		
9.2.5	Edit a User	The System Administrator will be able to edit a user by clicking the name of the user from the User List to open the COMPASS User Page for that user.		
10.	General Administration			
10.1	Maintaining Resource Types	The System will have a Resource Type Management feature to allow add, edit, and delete Resource Types in COMPASS		
10.2	Maintaining Agency Lists	The System will have an Agency List Management feature to allow add, edit, and delete Agencies in COMPASS		
11.	Q&A Wizard Question Administration	<p>The Q&A Wizard will be a dynamic tool enabling system administrators to add, edit, and delete Master question and sub-questions (i.e., “nested” questions) as necessary. The Q&A Wizard Question Administration Page will consist of the following elements:</p> <ul style="list-style-type: none"> ▪ “Add a Question” Link ▪ Question and Answer List presented so all Master Questions and all sub-questions are visible 		
11.1	Nested Questions	The question tool will allow for “nested questions” based on user response to top level questions to support several tiers of questioning. Nested questions will be connected to a Master Question and can be linked and delinked (if a Master Question is being deleted). Only linked nested questions will appear for users.		
11.2	Add a Question	The System Administrator will be able to add a question or nested question		
11.3	Question Order	The System Administrator will be able to reorder questions		
11.3.1	Question Types	<p>The System Administrator will select a Question Type:</p> <ul style="list-style-type: none"> ▪ Multiple Choice (one answer allowed) ▪ Multiple Choice (multiple answers allowed) ▪ True / False ▪ Yes / No ▪ Open Text with validation 		

		<ul style="list-style-type: none"> ○ Numerical validation ○ Email address validation ▪ Open Text with Numerical validation ▪ Date 		
11.3.2	Enter Question and Responses	The Systems Administrator will enter the question and response choices and add the question to COMPASS.		
11.3.3	Enter Question Help Text	Enter Question Context Sensitive Help Text		
11.4	Hiding a Question	The System Administrator will be able to hide a question or nested question by making them “active” or “inactive”		
11.5	Editing a Question	The System Administrator will be able to edit a question or nested question		
11.6	Deleting a Question	<p>The Systems Administrator will be able to delete a Master question or nested question.</p> <p>(Deleting a question or nested question is a major event. Because Master question and nested questions are associated with each other, any deletion could have adverse consequences if not carefully planned. For this reason, COMPASS will force the user through a series of confirmation steps prior to allowing a question to be deleted.)</p>		
11.6.1	Delete a Question – Rule 1	COMPASS will only allow one question to be deleted at a time.		
11.6.2	Delete a Question – Rule 2	When a Master Question is deleted, all associated nested questions will be unlinked from the Master Question. These nested questions will be orphaned and will need to be reconnected to a new master question or they will not be visible to COMPASS users.		
11.6.3	Delete a Question – Rule 3	A Question <u>can be</u> deleted if a Compliance Resource is mapped to it. (Note: In order to be mapped to the Q&A Wizard , a resource must be mapped to all questions.)		
11.6.4	Delete a Question – Delete Question Page (Step 1)	<p>When selecting a question to delete, a Delete Question Page will be displayed indicating to the Systems Administrator, the following:</p> <ul style="list-style-type: none"> ▪ Nested questions will be unlinked/orphaned and will need to be reconnected to a Master Question to display or deleted. ▪ A list of Compliance Resources (i.e., Resource Number, Resource Title, Agency/Sub-Agency, and Mapper Name) that are currently “<u>affirmatively</u>” mapped to that question (or associated nested question) 		
11.6.5	Delete a Question – Final Step (Step 2)	The Systems Administrator will confirm the deletion and then delete the question.		

8.4. Reporting and Verification

Req ID	Requirement Title	Requirement Description	Comments	Approval
12.	Reporting			
12.1	Resource Selection Statistics	Returns statistics for resource selection requests.		
12.2	Q/A Selection Statistics	Returns statistics for Q/A selections.		
12.3	Last Updated Statistics	Returns statistics for updates.		
13.	Verification			
13.1	Verification Testing	The System should save Q/A selections to generate a report showing the Q/A answers and the resource links returned.		

8.5. Other Requirements

Req ID	Requirement Title	Requirement Description	Comments	Approval
14.	Legal Disclaimer Requirements			
14.1	Site Exit Notification Messages	The system will provide applicable notification upon exiting .gov websites.		
14.1.1	Disclaimers	All SBA and Federal disclaimers will be incorporated.		
15.	Help			
15.1	Context Sensitive Help for Public Users	Help screens for specific areas of COMPASS will be provided in context.		
15.2	Context Sensitive Help for Maintenance Users	Help screens for specific areas of the COMPASS Compliance Resource Management interfaces will be provided in context		

9. Data Requirements

9.1. Sample Data

Sample data requirements for the COMPASS tool include Resource Types, Question and Answer Hierarchies and Industries. Based on these data requirements, appropriate metadata fields have been identified for future data calls to populate the COMPASS resource database.

9.1.1. Resource Types

Sample COMPASS resource types include:

- Compliance Guides
- Factsheets and Brochures
- FAQs
- Posters
- Forms
- Contact Info
- Free Help

9.1.2. Question and Answer Tool: Business Information Questions

The sample questions in Table 3 will be used to map the Business Information about these resources.

(**Note:** Sample nested questions are included below for reference only. Complete development of nested question sets will need to be developed concurrently with the mapping exercise.)

Table 3. Additional Business Information Collected

	Question:	Answer:
1	Select the Industry Sector and Sub sector that most closely describes your business:	
2	How many employees do you have?	
2 a.	Are any of your employees youth (< 18 years old) workers? (SAMPLE NESTED LEVEL 1)	
2 b.	Are any of your employees non-U.S. citizens? (SAMPLE NESTED LEVEL 1)	
3	Do you offer or do you plan to offer – <input type="checkbox"/> Health benefits to your employees?	

	<input type="checkbox"/> Retirement benefits (401K) to your employees?	
4	Are you a new (start-up) business?	
5	In what State(s) does your business operate?	
6	Are you buying or selling a business?	
7	Do you generate waste (not including household waste?)	
7 a.	<p>Tell me about the wastes you generate – (SAMPLE NESTED LEVEL 1)</p> <input type="checkbox"/> Batteries <input type="checkbox"/> Hazardous waste <input type="checkbox"/> Construction Debris <input type="checkbox"/> Used oil <input type="checkbox"/> Tires <input type="checkbox"/> Paints and solvents <input type="checkbox"/> Other	
8	<p>Do you manufacture –</p> <input type="checkbox"/> a product? <input type="checkbox"/> chemicals or pesticides?	
9	<p>Do you store chemicals (excluding household cleaners) or wastes in your business in-</p> <input type="checkbox"/> Aboveground Storage Tanks (ASTs)? <input type="checkbox"/> Underground Storage Tanks (USTs)? <input type="checkbox"/> Drums?	
10	Do you use or store pesticides?	
11	<p>Do you transport –</p> <input type="checkbox"/> People? <input type="checkbox"/> Products? <input type="checkbox"/> Hazardous Materials?	
12	Do you have air emissions (e.g., painting operations, commercial vehicles, stationary sources, etc.)?	
13	Do you discharge any materials to sewers, surface water or groundwater?	
14	Does your business involve the disturbance of land, impact wetlands or other natural areas?	
15	Are you involved in the import or export of products?	

9.1.3. Industry Options

Our methodology for selecting the industry categories was as follows:

- Compiled industry lists from EPA, OSHA, NAICS, the existing COMPASS tool
- Developed a list of common small business industries that may be at risk for compliance issues (list based on interviews and experience)
- Integrated these lists and resources into one comprehensive list that is most pertinent to businesses looking for compliance resources

NAICS codes will be mapped to the COMPASS industry list so that users can enter a NAICS code directly to identify resources. (COMPASS will also allow search within NAICS codes to help a user categorize their business.)

Table 5. COMPASS INDUSTRY HIERARCHY (Example Hierarchy)

1) Typical Small Business Industries

- a) Car Wash
- b) Landscaping / Tree Services / Nurseries
- c) Child Care
- d) Dry Cleaning
- e) Professional Services (Accounting, Legal, HR)
- f) Cleaning services
- g) Maintenance and Repair
- h) General contracting
- i) Construction
- j) Retail / Restaurant
- k) Gas Station
- l) Cosmetology
- m) Printing
- n) Painting
- o) Swimming Pools
- p) Gyms / Exercise Facilities

2) Agriculture / Forestry

- a) Meat Packing
- b) Farming – Livestock
- c) Farming – Crops
- d) Preserved Fruits and Vegetables
- e) Logging

3) Arts / Entertainment / Recreation

- a) Gambling
- b) Sports Teams and Facilities
- c) Shooting Ranges

4) Construction

- a) Demolition
- b) Roads

5) Educational Services

6) Professional Services (Finance, Insurance, Accounting, Legal)

7) Health Care / Social Assistance

- a) Dentistry

- 8) **Information Technology and Telecommunications**
- 9) **Information Distribution / Media (Broadcast, Movies, Publishing)**
- 10) **Manufacturing**
 - a) Chemicals and Pesticides
 - b) Fireworks / Pyrotechnics
 - c) Food or Beverage
 - d) Textile and Apparel
 - e) Furniture
 - f) Automobile / Vehicle / Equipment
 - g) Aircraft
 - h) Shipbuilding (Maritime)
 - i) Electronics / Printed Circuit Boards
 - j) Metal/steel production and finishing
 - k) Plastics
 - l) Pulp/paper/lumber
 - m) Other Industrial
- 11) **Transportation and Warehousing**
- 12) **Mining / Oil & Gas Exploration**
- 13) **Utilities / Power Generation**
- 14) **Retail Trade / Wholesale Trade / Restaurant**
- 15) **Maintenance**
 - a) Vehicle/Equipment Maintenance
 - b) Aircraft Maintenance
 - c) Painting / Corrosion Control
 - d) Metal Finishing
- 16) **Environmental**
 - a) Waste management / Recycling
 - b) Remediation
 - c) Water treatment and distribution
 - d) Pollution Control
- 17) **Alcohol, Tobacco, Firearms Production or Distribution**
- 18) **Fishing / Hunting**
- 19) **Airports**
- 20) **Pharmaceuticals**
- 21) **Laboratories**

9.2. Metadata

The COMPASS tool will require metadata for each resource to provide applicable results. The following list details the information needed to map resources.. When requirements have been

finalized, the data call will need to incorporate all identified meta data elements to meet the needs of COMPASS. These elements include but are not limited to:

Required

Agency
URL
Title
Resource Type
Description

Question and Answer Tool Mapping (applicable categories identified)

Examples:
Industry
of Employees
Revenue

10. External Interfaces

The COMPASS Tool will not interface with agency web link management systems.

11. Look and Feel Requirements

11.1. Interface

All UI requirements for the development of the COMPASS Tool should conform to the recommendations as detailed by the UI Team in their reports to the Business.gov management team.

11.2. Style

All Stylistic requirements for the development of the COMPASS Tool should conform to the recommendations as detailed by the UI Team in their reports to the Business.gov management team.

12. Usability and Humanity Requirements

12.1. Ease of use

The COMPASS tool will need to be usable by business users of various computer literacy skills. Usability testing is being completed as part of the portal design phase and will need to be carefully considered during development of the question and answer wizard. A simple user interface which clearly delineates choices in plain language will help ensure utility for all users.

12.2. Personalization

Personalization and the capability to save a profile will be planned for future phases of the COMPASS. When building COMPASS, this future requirement should be considered to allow modular additions to the BG Portal (focusing on the user interface as well as the database and templates). Business users interviewed expressed a strong interest in being able to enter in their company information and have the capability to return to COMPASS to quickly get answers to new questions on-demand. It is predicted that many users will want this feature which will hopefully counter any concerns that the information they enter will be misused.

12.3. Internationalization

Future iterations of the COMPASS tool will likely include additional languages for searching and the Q&A Wizard. Languages identified in initial discussions include:

- Spanish
- French
- Asian Languages

12.4. Ease of Learning

The COMPASS tool will be intuitive to users (both public and Federal government administrators) without requiring training. Context sensitive help will be included to assist a user with questions about a specific section of the system. Plain language and standard browser user interfaces that conform to usability recommendations will further enhance the user experience and make the application simple to learn.

The maintenance system used by agency representatives to update and maintain their compliance assistance resources will be simple for a web content manager to learn and also provide context sensitive help. It may be necessary to plan for annual training which will include COMPASS protocols for maintaining the site as well as how to keep compliance assistance information updated.

12.5. Understandability

The system will use plain language wording that is easily understood by the target user community. This has been addressed in the JDG Content and Creative Strategy report detailing the need to be “intuitive, straightforward and consistent”⁴

⁴ JDG Task 2a/b Report, p.12.

12.6. Accessibility

The BG Portal will be required to be Section 508 compliant as it is a Federal web site. This will impact design of the user interfaces and will require compliance with directives found at <http://www.section508.gov/>.

13. Performance Requirements

13.1. Speed and Latency

The COMPASS Tool performance must meet the Business Gateway User Interface Performance Criteria that is currently in the process of being defined by the Portal Team.

13.2. Reliability and Availability

COMPASS Tool availability must meet the Business Gateway up-time requirements.

13.3. Robustness or Fault Tolerance

COMPASS Tool disaster recovery requirement must meet the Business Gateway recovery requirements.

13.4. Capacity

The COMPASS Database must be able to store all compliance links and associated data from Federal and State web sites.

13.5. Scalability or Extensibility

The COMPASS tool must be able to handle 2000 concurrent user sessions.

14. Operational Requirements

14.1. Expected User Technology

The web user lowest common denominator to be expected:

- **Internet Connection:** 56k Dial-up
- **Browser:** Standards Based Browsers including Netscape, Internet Explorer, Firefox, Mozilla, Opera, Safari

14.2. Expected Server Technology

BEA/WebLogic

14.3. Partner Applications

The COMPASS Tool will be part of the Business.gov Business Gateway Portal

15. Maintainability and Support Requirements

15.1. Maintenance

The site shall be data-driven to provide end-users the ability to maintain the site with no assistance from software development support services.

15.2. Supportability

Help-Desk support requirements should only be to answer maintenance user question specific to link maintenance.

15.3. Installation

Web Server installation specific to the COMPASS tool should be documented.

16. Security Requirements

16.1. Access

Access to COMPASS for public users will be open for Phase I. The administrative entry for COMPASS will require designated users to have a user name and password.

16.2. Integrity

Data will be protected with appropriate backup and audit controls to insure information integrity.

16.3. Privacy

The COMPASS tool will not store user's information after they exit the web site in Phase I. Persistent cookies will not be used to track use of the system. Searches and content entered by users will not be stored for any purpose other than analyzing trends of use and to improve the utility of the system.

16.4. Audit

The COMPASS tool will have the ability to report on user statistics for audit purposes to meet any Federal requirements for applications.

16.5. Immunity

COMPASS infrastructure will be maintained to keep all applications and code current using security best practices and on-going protection from SQL Injection, cross-site scripting and other malicious users attempting to damage the system.

17. Legal Requirements

17.1. Compliance

All government compliance standards for public facing web applications will need to be incorporated into the COMPASS tool and will flow from the BG Portal compliance requirements.

17.2. Standards

The COMPASS tool will adhere to all federal government standards that apply. This includes Section 508 criteria for accessibility. Standard browsers will be universally supported allowing the widest audience to benefit from the tools provided.

18. Off-the-Shelf Solutions

Task 2 of the COMPASS Requirements Analysis Project is to perform the COTS analysis for the COMPASS Tool. The focus will be on Q/A Wizard Tools.

19. Risks

Through the course of interviewing the agencies and businesses and conducting research the Compliance Workgroup has identified risks which should be considered during the design and build phases of this project. These issues should also be monitored as the project moves beyond the launch into the next several phases.

The risks are as follows:

- It will be important for the success of the system that cooperation between all participating organizations be maintained. The value of COMPASS after its initial rollout will depend largely on content managers updating their compliance assistance resources on a consistent basis.
- There is currently no data collection tool available for compliance assistance resources to be cataloged. To migrate current data from the data calls will require data entry or a set of tools for import of bulk information.
- The mapping process requires a systematic approach, leveraged tools, and resources that can accommodate as many agencies and as much data as possible during this initial phase. The depth of this content will be a critical element to the success of COMPASS for the initial launch as well as over time as it expands from a small set of agencies to the entire Federal government.
- Data collection will be an ongoing discovery process. It will be beneficial for COMPASS to have a real question modeling tool to allow for data collection. The current data call methodology utilizing Excel spreadsheets will not scale to encompass all Federal compliance assistance resources. This presents a serious risk to project success within the aggressive timeline of deployment by September 2006.
- The COMPASS system is now becoming a focal point of Business.gov therefore further integration and SRS refinements will be needed to meet evolving goals.
- Compliance information is not standardized and lacks effective metadata
- State information is currently not planned in Phase I
 - State information frequently supersedes Federal information
- Many areas of SRS are dependent on future input from other Business.gov teams
- There may be unknown impacts/results as Business.gov is currently in transition.
 - Resulting impacts from migration to Portal need to be considered
 - Impacts may not be discovered until after delivery of Final COMPASS SRS
- Portal search technology will need to support COMPASS.
 - Portal Team should not make final decision on search technology until COMPASS and Business Gateway requirements have been finalized

- When the COMPASS Tool is extended beyond the current four agencies, Industry Categories may need to be modified.
- Mapping and data update is not maintained properly after the initial roll-out resulting in bad links or missing information.
- Growth of online resources for compliance assistance creates a need for new search methodology
- Resources interviewed from agencies may not have had sufficient knowledge for the purpose. Timeframe does not allow for additional interviews.
- Resources interviewed from the business community did not necessarily represent “small” business. Of the 26 businesses contacted only 3 responded positively and 2 participated.
- For COMPASS to remain useful for small business, it will be critical that agency web content managers update future links. The update process for adding and mapping resources will need to be intuitive and rapid for content managers.
- Because COMPASS is providing several different types of compliance locator tools to serve the highly variable needs and preferred search methods of multiple user types, the user interface complexities are significant. There are many types of tools and content that will be vying for space and position on the page; therefore, there is a high potential for the site to be muddled and confusing. – there are a lot of promises and confusing elements – not all resources are mapped

20. Costs

This content will be developed as part of Task 3.

21. User Documentation and Training

21.1. User Documentation

Maintenance User documentation should be created to explain the process of updating and mapping link information. This should include an explanation of each data element requested.

21.2. Training

Future enterprise resource planning for COMPASS will need to budget for maintenance and associated training to keep links and information current and accurate.

22. Requirements Not Implemented

During discussions and review of applicable information for COMPASS users, state compliance assistance information surfaced many times. It is recommended that state compliance information is added as a top priority as many laws and filing requirements are deferred to the state level requiring a business to be aware of both federal and potentially more stringent state regulations to achieve compliance. Additionally, during interviews with several federal agencies, the need for COMPASS to offer content in multiple languages was introduced by representatives from OSHA, DOL (Wage and Hour) and DOT (FMCSA). In future iterations, foreign languages including French, Spanish and Asian Languages are recommended.

23. Supporting Information and Documents

(To be inserted with Final Document)